

PATENT
0505-4015

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Christopher KEITH

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Filed : March 8, 2001

SEP 18 2001

Group Art Unit: 2165

Examiner Technology Center 2100

Serial No.: 09/802,163

Confirmation No.: 1129

Title: AUTOMATED FIRST LOOK AT MARKET EVENTS

INFORMATION DISCLOSURE STATEMENT

Assistant Commissioner for Patents
Washington, DC 20231

Sir:

This Information Disclosure Statement is filed in accordance with 37 C.F.R. §§ 1.56, 1.97 and 1.98. The items listed on Form PTO 1449, a copy of which is enclosed, may be pertinent to the above-referenced application and are made of record to assist the Patent Office in its examination of this application. The Examiner is requested to fully consider the items and independently ascertain their teaching.

No fee is due since this Information Disclosure Statement is being filed

before the mailing date of a first Office Action on the merits.

Respectfully submitted,

Date: September 14, 2001

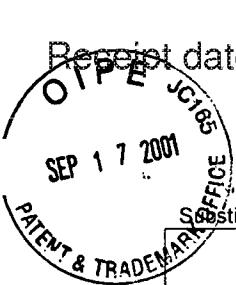
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New York, NY 10019
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Brenda Pomerance

Brenda Pomerance
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ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /C.G./

Receipt date: 09/17/2001



Substitute Form PTO 1449

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Sheet 1 of 2		Application No.	09/802,163
		Filing Date	March 8, 2001
		Inventor	Christopher Keith
		Group Art Unit	2165
		Examiner	TBA
		Atty. Docket No.	0505-4015

U.S. PATENT DOCUMENTS

Examiner Initials	Cite No.	U.S. Patent Document		Name of Patentee	Publication Date MM-DD-YYYY	Relevant text or Figs.
		Number	Kind Code			
AA	6134535			Belzberg	10-17-2000	
AB	6105005			Fuhrer	08-15-2000	
AC	6092056			Tull, Jr. et al.	07-18-2000	
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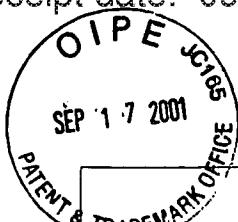
FOREIGN PATENT DOCUMENTS

Examiner Initials	Cite No.	Foreign Patent Documents			Name of Patentee or Assignee	Publication Date MM-DD-YYYY	Relevant text or Figs.	Trsl. (✓)
		Office	Number	Kind Code				
BA	WO	00/63814		A1	Lava Trading	10-26-2000		
BB	WO	01/02930		A2	Globenet Capital Corporation	01-11-2001		

Examiner Signature	Date Considered
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Sheet 2 of 2		Atty. Docket No.	0505-4015

OTHER PRIOR ART – NON PATENT LITERATURE DOCUMENTS

Examiner Initials	Cite No.	AUTHOR, title, magazine, date, pages, publisher, city where published	Trsl. (✓)
	CA	"AuctionBot", 9 pages from http://auction.eecs.umich.edu , printed March 30, 2000	
	CB	MAES et al., "Agents that Buy and Sell: Transforming Commerce as we Know It", Comm. ACM, March 1999, vol. 42, no. 3	
	CC	WELLMAN et al., "Real Time Issues for Internet Auctions", First IEEE Workshop on Dependable and Real-Time E-Commerce Systems (DARE-98), Denver, CO, June 1998	
	CD	WURMAN et al., "Flexible Double Auctions for Electronic Commerce: Theory and Implementation", July 13, 1998, to appear in "Decision Support Systems"	
	CE	MERTZ et al., "The Handbook of Investment Technology," Chapters 7, 8, and 15	
	CF	KEYES, "Handbook of Technology Financial Services, Chapters 5, 36, 37, 40	
	CG	TEWELES et al, "The Stock Market," Chapters 8 and 23	
	CH	DALTON, "How the Stock Market Works," Chapters 5 and 7	
	CI	"PeCo-Mediator: finding partners via personal connections," IEEE Int. Conf. on Systems, Man and Cybernetics 1996, vol. 1:802-7 Abstract	
	CJ	PROPSION, "The Secret Matchmaker," BUSINESS2.COM, March 6, 2001, pp 90-93	
	CK	ARVEDLUND, "An Arranged Exchange," BUSINESS2.COM, February 6, 2001, pp 90-91	
	CL	CHANG, "New Age Bidding: Against Computers, Humans Usually Lose," New York Times, January 2, 2001, pages 1-3	
	CM	RIJNEN, "Trading Places," Alleycat News, pages 61-73, November 2000	
	CN	e-mail from lab_rat@listserv.redherring.com, dated February 8, 2001, Subject: LAB RAT: Smart technology trounces traders, pages 1-5	

Examiner Signature	/Clement Graham/	Date Considered	12/07/2008
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CERTIFICATE OF MAILING

I hereby certify that the following attached paper(s) and/or fee

1. Information Disclosure Statement
2. PTO Form 1449
3. Copies of 37 references
4. Return receipt postcard

are being deposited with the United States Postal Service with sufficient postage as first class mail under 37 C.F.R. § 1.8 on the date indicated below in an envelope addressed to: Assistant Commissioner for Patents, Washington, DC 20231.

Date: September 14, 2001


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